

**UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office**ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

FEBRUARY 10, 1999

PTAS



100860188A

TERRY M. GERNSTEIN
1015 SALT MEADOW LANE
MCLEAN, VA 22101**UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT**

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 10/20/1998

REEL/FRAME: 9516/0825
NUMBER OF PAGES: 8

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

WILLIAMSON, WARREN P., IV

DOC DATE: 10/16/1998

ASSIGNOR:

SPENCE, PAUL A.

DOC DATE: 10/18/1998

ASSIGNOR:

CHRISTAKIS, GEORGE T.

DOC DATE: 10/15/1998

ASSIGNEE:

CARDIOVASCULAR TECHNOLOGIES, LLC
101 SOUTHBEND COURT
LOVELAND, OHIO 45140

SERIAL NUMBER: 08606343

FILING DATE: 02/23/1996

PATENT NUMBER: 5716370

ISSUE DATE: 02/10/1998

9516/0825 PAGE 2

SHIRLIE SIMON, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

10-26-1998



IN THE UN.

100860188

10.20.98
ADEMARK OFFICE

Inventor: Williamson, et al

Patent No: 5,716,370

Issued: Feb. 10, 1998

Filed: Feb. 23, 1996

Title: MEANS OF REPLACING A
HEART VALVE IN A MINIMALLY
INVASIVE MANNERHon. Commissioner of Patents and Trademarks
Washington, D.C. 20231COVER SHEET FOR ASSIGNMENT ACCOMPANYING
PATENT APPLICATION

IDENTIFICATION OF PATENT

1. The patent issued on Feb. 10, 1998 to which the attached
assignment refers is identified as follows:

- a. Date of filing: 02/23/1996
- b. Date of Issue: 02/10/1998
- c. Name of each inventor:

- 1. Warren P. Williamson IV
- 2. Paul A. Spence
- 3. George T. Christakis

c. Title of invention: MEANS OF REPLACING A HEART VALVE IN A
MINIMALLY INVASIVE MANNER

2. The parties conveying this interest are:

Name 1: Warren P. Williamson IV
Name 2: Paul A. Spence
Name 3: George T. Christakis

NAME AND ADDRESS OF PARTY RECEIVING INTEREST
(37 CFR 3.31(a)(2))

3. The rights are being conveyed to:

Name: CardioVascular Technologies, LLC
Address: 101 Southbend Ct., Loveland, OH 45140
Telephone No: (513) 583-0981

/23/1998 TT0H11 00000062 5716370
FC:501
40.00 OP

**DESCRIPTION OF INTEREST CONVEYED OR
TRANSACTION RECORDED (37 CFR 3.31(a)(3))**

4. The accompanying document intends to accomplish:

☒ Assignment

**NAME AND ADDRESS OF PARTY TO WHOM CORRESPONDENCE
SHOULD BE MAILED (37 CFR 3.31(a)(5))**

5. Please address correspondence to:

Name: Terry M. Gernstein
Address: 1015 Salt Meadow Lane
McLean, VA 22101
Telephone No: (703) 790-5945

DATE ASSIGNMENT EXECUTED (37 CFR 3.31(a)(7))

6. The attached assignment was executed on

LANGUAGE OF ASSIGNMENT TO BE RECORDED

7. The attached document is in the English language

ORIGINAL DOCUMENT OR TRUE COPY SUBMITTED

8. Submitted herewith is

☒ a true copy of the original document

**NUMBER OF APPLICATIONS IDENTIFIED IN THIS COVER
SHEET AND FEE (37 CFR 3.31 (a)(6))**

9. A. This cover sheet identifies only one application:
B. The fee for recordal (37 CFR 1.21(h)) is \$40.00

☒ Attached is a check for \$40.00.

**STATEMENT (37 CFR 3.31(a)(9)) AND SIGNATURE
(37 CFR 3.31(a)(10))**

10. To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Sep-08-98 12:40P

P.18

ASSIGNMENT

FOR VALUE RECEIVED, We,

Warren P. Williamson IV, 101 Southbend Ct., Loveland OH 45140
Paul A. Spense, 5818 Orion Rd., Louisville, KY 40222
George T. Christakis, 6 Pine Hill Rd., Toronto, Ontario, CN M4W
1P6

hereby sell, assign and transfer unto

CardioVascular Technologies, LLC, 101 Southbend Ct., Loveland, OH
45140

as assignee, and its successors, assigns and legal
representatives, the entire right, title and interest, for all
countries in and to certain inventions relating to MEANS FOR
REPLACING A HEART VALVE IN A MINIMALLY INVASIVE MANNER
described in Letters Patent of the United States number 5,716,370,
issued on the 10th day of February, 1998, and all the rights and
privileges under said Letter Patent.

We request that any and all patents for said inventions be
issued to said assignee, its successors, assigns and legal
representatives, or to such nominees as it may designate.

We agree that, when requested, I will, without charge to
said assignee but at its expense, sign all papers, take all
rightful oaths, and to all acts which may be necessary, desirable
or convenient for securing and maintaining patents for said
inventions in any and all countries and for vesting title thereto
in said assignee, its successors, assigns and legal
representatives or nominees.

We authorize and empower the said assignee, its successors,
assigns and legal representatives or nominees, to invoke and
claim for any application for patent or other form of protection
for said inventions filed by it or them, the benefit of the right
of priority provided by the International Convention for the
Protection of Industrial Property, as amended, or by any
convention which may henceforth be substituted for it, and to
invoke and claim such right of priority without further written
or oral authorization from us.

We hereby consent that a copy of this assignment shall be
deemed a full legal and formal equivalent of any assignment,
consent to file or like document which may be required in any
country for any purpose and more particularly in proof of the
right of the said assignee or nominee to claim the aforesaid
benefit of the right of priority provided by the International
Convention for the Protection of Industrial Property, as amended,
or by any convention which may henceforth be substituted for it.

We covenant with said assignee, its successors, assigns and

04/01/1994 10:57

502327707

PAUL A SPENCE

PAGE 01

1-27-1995 11:25PM

FROM WARREN P WILLIAMSON 513 583 8566

P. 3

Oct-16-98 09:17A

P.02

legal representatives, that the rights and property herein conveyed are free and clear of any encumbrance, and that we have full right to convey the same as herein expressed.

Signed at Cincinnati OH

this 16th day of October 1998.


Warren P. Williamson, IV

Witness:

Warren H. Williamson Dated: 10/19/98

Signed at Louisville KY

this 15th day of Oct. 1998.


Paul A. Spence

Witness:

Cathy Spence Dated:

Signed at

this 15th day of Oct. 1998.

George T. Christakis

Witness:

 Dated:

OCT 17 '99 11:57 GEORGE CHRISTAKIS

416 413 0148

TO 513 583 8566

P01

1-27-1995 11:27PM

FROM WARREN P WILLIAMSON 513 583 8566

P.3

Oct-16-98 09:17A

0.02

legal representatives, that the rights and property herein
conveyed are free and clear of any encumbrance, and that we have
full right to convey the same as herein expressed.

Signed at Cincinnati OH

this 16th day of October 1998.


Warren P. Williamson IV

Witness:

_____ Dated:

Signed at

this _____ day of _____, 19 ____.

Paul A. Spence

Witness:

_____ Dated:

Signed at

this 16 day of Oct., 1991.


George T. Christakis

Witness:

 Dated: 11/18/95

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY
STATUS (37 CFR 1.9(f) and 1.27(c)) -SMALL BUSINESS CONCERN

I hereby declare that I am

☒ the owner of the small business concern identified
below

☒ an official of the small business concern empowered
to act on behalf of the concern identified below.

NAME OF CONCERN CardioVascular Technologies, LLC
ADDRESS OF CONCERN 101 Southbend Ct., Loveland, OH 45140

I hereby declare that the above-named small business concern
qualifies as a small business concern as defined in 13 CFR 121.3-
18, and reproduced in 37 CFR 1.9(d), for purposes of paying
reduced fees under Section 41(a) and (b) of Title 35, United
States Code, in that the number of employees of the concern,
including those of its affiliates, does not exceed 500 persons.
For purposes of this statement, (1) the number of employees of
the business concern is the average over the previous fiscal year
of the concern of the persons on a full-time, part-time or
temporary basis during each of the pay periods of the fiscal
year, and (2) concerns are affiliates of each other when either,
directly or indirectly, one concern controls or has the power to
control the other, or a third-party or parties controls or has
the power to control both.

I hereby declare that the rights under contract or law have
been conveyed, to and remain with the small business concern
identified above with regard to the invention, entitled:

MEANS OF REPLACING A HEART VALVE
IN A MINIMALLY INVASIVE MANNER

by: Warren P. Williamson IV, Paul A. Spence, George T. Christakis
described in

☒ patent number 5,716,370, filed 02/23/96, issued
02/10/1998.

If the rights held by the above-identified small business
concern are not exclusive, each individual, concern or
organization having rights in the invention is listed below in a
separate verified statement, and no rights to the invention are
held by any person, other than the inventor, who would not
qualify as an independent inventor under 37 CFR 1.9(c) if that
person made the invention, or by any concern which would not
qualify as a small business concern under 37 CFR 1.9(d) or as a
non-profit organization under 37 CFR 1.9(e).

WOOD, HERRON & EVANS, LLP

JOHN D. POFFENBERGER
BRUCE TITTEL
DONALD F. FREI
DAVID J. JOSEPHIC
A. RALPH NAVARO, JR.
DAVID S. STALLARD
J. ROBERT CHAMBERS
GREGORY J. LUNN
KURT L. GROSSMAN
CLEMENT H. LUKEN, JR.
THOMAS J. BURGER
GREGORY F. AHRENS
WAYNE L. JACOBS
KURT A. SUMME
KEVIN G. ROONEY
KEITH R. HAUPT
THEODORE R. REMAKLUS
THOMAS W. HUMPHREY
SCOTT A. STINEBRUNER

2700 CAREW TOWER
441 VINE STREET
CINCINNATI, OHIO 45202-2917
TELEPHONE: 513-241-2324
FACSIMILE: 513-421-7269
EMAIL: info@whepatent.com

PATENT, TRADEMARK, COPYRIGHT
AND UNFAIR COMPETITION LAW
AND RELATED LITIGATION

EDMUND P. WOOD 1923-1986
TRUMAN A. HERRON 1935-1976
EDWARD B. EVANS 1936-1971

TELECOPIER COVER SHEET

JOSEPH R. JORDAN
C. RICHARD EBY

DAVID E. PRITCHARD
DAVID H. BRINKMAN
J. DWIGHT POFFENBERGER, JR.
BEVERLY A. LYMAN, Ph.D.
KATHRYN E. SMITH
KRISTI L. DAVIDSON
P. ANDREW BLATT, Ph.D.
DAVID E. JEFFERIES
DAVID E. FRANKLIN
WILLIAM R. ALLEN, Ph.D.
JOHN PAUL DAVIS
DOUGLAS A. SCHOLER
FRANK M. MUNGO (KY BAR)
BRETT A. SCHATZ
ALLISON A. DAVIDSON

TECHNICAL ADVISORS
HENRY M. LABODA, Ph.D.
LARRY D. MOORE, S.S.E.
DAVID W. DORTON, M.M.E.
RONALD J. RICHTER, M.D.
G. PRABHAKAR REDDY, M.S CH.

The information in this facsimile message is intended only for the use of the individual or entity to whom this fax is addressed. If the reader of this message is not the intended recipient or the employee or agent responsible for delivering it to the intended recipient, you are hereby notified that any dissemination, distribution or reproduction of this communication is strictly prohibited. If you have received this communication in error, please immediately notify us by telephone and return the original message to us at the above address via United States Postal Service. Thank you.

DATE: August 17, 2001

RE: Serial No. 09/306,448; Filed:
May 6, 1999; For: Means and
Method of Replacing a Heart
Valve in a Minimally Invasive
Manner; Applicants: Warren
Williamson IV et al.; Our Ref.
No.: CVT-02

TO: Examiner P. Prebilic
Group 3738

FROM: Kevin G. Rooney

FAX RECEIVED

FAX NO.: 703-308-3708

TOTAL PAGES: 13
(including cover sheet)

AUG 21 2001

GROUP 3700

If transmission is interrupted or of poor quality, please notify us immediately by calling (513) 241-2324 and ask for Melanie. OUR FAX NUMBER IS (513) 421-7269.

MESSAGE/COMMENTS

OFFICIAL

PLEASE DELIVER TO EXAMINER PREBILIC IMMEDIATELY